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Date: April 28, 2004

To: Office of Publications
Examiner Tran, Mai Huong
Art Unit: 2818

Fax No.: 703-872-9306

From: Stephen P. Burr

Subject: U.S. Application Ser. No. 10/690,290
Filed: October 21, 2003
Conf. No.: 4572
Title: A SEMICONDUCTOR ELEMENT

Our Ref.: 782_202 DIV2

You should receive 9 pages including this cover sheet. If you do not receive all pages, please call (315) 233-8300.

CERTIFICATION OF FACSIMILE TRANSMISSION

I hereby certify that the following papers are being facsimile transmitted to 703-872-9306 at the Patent and Trademark Office on April 29, 2004:

- Request For Acknowledgment of Receipt and
Consideration of Information Disclosure Statement _1_ page
- Courtesy copy of the Information Disclosure Statement
filed April 7, 2004, including copies of the Form PTO-1449,
postcard receipt and Express Mail receipt _7_ pages
- This Cover Sheet _1_ page

Total Pages

9


Melissa T. Kuczyński

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Practitioner's Docket No.: 782_202 DIV2

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Yuji HORI, Tomohiko SHIBATA, Osamu ODA and Mitsuhiro
TANAKA

Ser. No.: 10/690,290

Group Art Unit: 2818

Filed: October 21, 2003

Examiner: Tran, Mai Huong

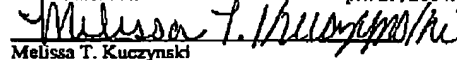
For: A SEMICONDUCTOR ELEMENT

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Melissa T. KuczynskiREQUEST FOR ACKNOWLEDGMENT OF RECEIPT AND CONSIDERATION OF
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Sir:

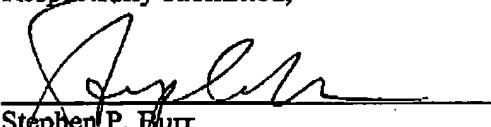
Applicants respectfully request the U.S. Patent and Trademark Office to return an initialed copy of the PTO-1449 filed with Information Disclosure Statement on April 7, 2004, as acknowledgment of receipt and consideration thereof. A courtesy copy of the PTO-1449 and Information Disclosure Statement as well as our postcard receipt, are enclosed.

Should additional copies of the references cited in the Information Disclosure Statement be required, the appropriate Patent and Trademark Office official is invited to contact the undersigned at the telephone number set forth below.

Respectfully submitted,

April 29, 2004

Date


Stephen P. Burr
Reg. No. 32,970

SPB/mtk

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Your mail room stamp hereon will acknowledge receipt of:

1. A Transmittal of Information Disclosure Statement Under 37 CFR §1.97(d) (in duplicate)
2. A Certification Under 37 CFR §1.97(e)
3. An Information Disclosure Statement
4. Form PTO-1449
5. A European Search Report dated March 2, 2004
6. References AA-AF (References AA-AC are not enclosed)
7. Our check in the amount of \$180.00

Applicant(s): Yuji HORI, Tomohiko SHIBATA, Osamu ODA and Mitsuhiro TANAKA

Ser. No.: 10/690,290

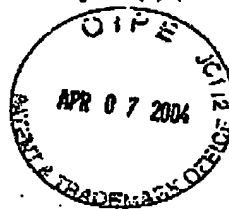
Date Filed: October 21, 2003

Our Docket No. 782_202 DIV2

Conf. No.: 4572

Title: A SEMICONDUCTOR ELEMENT

Date of Mailing: April 7, 2004



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Practitioner's Docket No.: 782_202 DIV2

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Yuji HORI, Tomohiko SHIBATA, Osamu ODA and
Mitsuhiko TANAKA

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Ser. No.: 10/690,290

Art Unit: 2814

Filed: October 21, 2003

Examiner: Ngan V. Ngo

Conf. No.: 4572

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For: A SEMICONDUCTOR ELEMENT

Commissioner for Patents
P.O. Box 1450
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Elizabeth A. VanAntwerp
Elizabeth A. VanAntwerp

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.97(d)

TIME OF TRANSMITTAL OF ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT

1. The information disclosure statement transmitted herewith is being filed *after*:

- (1) a final action under §1.113,
- (2) a notice of allowance under §1.311, or
- (3) an Office Action that closes prosecution,

but before, or simultaneously with, the payment of the issue fee.

STATEMENT AND FEE

2. In accordance with the requirements of 37 CFR §1.97(d):

- A. Accompanying this transmittal is a statement, as specified in 37 CFR §1.97(e).
- B. Applicant(s) submit(s) the submission fee set forth in §1.17(p) (\$180.00).

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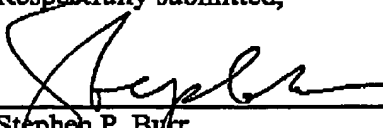
3. ☒ Attached is a check in the amount of \$180.00.
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If any additional fees are due, please charge Deposit Account 50-1446.

Respectfully submitted,

April 7, 2004

Date



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Reg. No. 32,970

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Practitioner's Docket No.: 782_202 DIV2

PATENT

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In re patent application of: Yuji HORI, Tomohiko SHIBATA, Osamu ODA and
Mitsuhiro TANAKARECEIVED
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Art Unit: 2814

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Filed: October 21, 2003

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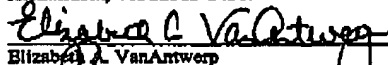
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Elizabeth A. VanAntwerpCERTIFICATION UNDER 37 CFR §1.97(e)

Sir:

- ☒ Each item of information contained in the Information Disclosure Statement filed herewith was *first* cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

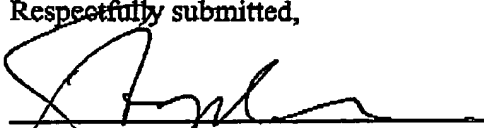
OR

- ☐ No item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Respectfully submitted,

April 7, 2004

Date


Stephen P. Burr
Reg. No. 32,970

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Practitioner's Docket N .: 782_202 DIV2

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Yuji HORI, Tomohiko SHIBATA, Osamu ODA and
Mitsuhiko TANAKA

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Ser. No.: 10/690,290

Art Unit: 2814

Filed: October 21, 2003

Examiner: Ngan V. Ngo

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Elizabeth A. VanAntwerp
Elizabeth A. VanAntwerp

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached Form PTO-1449. Copies of each of the references listed on Form PTO-1449 are attached. In accordance with the Notice dated July 11, 2003 on the PTO website, we are not enclosing copies of any of the U.S. references listed on Form PTO-1449.

Also enclosed is a copy of a European Search Report bearing a mailing date of March 2, 2004 from a corresponding European patent application, and the U.S. PTO is directed thereto for a concise statement of possible relevance of the references cited therein.

The above information is presented so that the Patent and Trademark Office may, in the first instance, determine any materiality thereof to the claimed invention. It is respectfully requested that the information be expressly considered during the prosecution of

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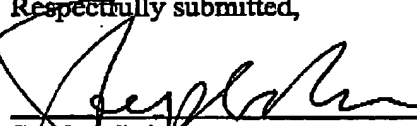
this application, and that these references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

The Commissioner is hereby authorized to charge any additional fees associated with this communication or credit any overpayment to Deposit Account No. 50-1446.

Respectfully submitted,

April 7, 2004

Date



Stephen P. Burr
Reg. No. 32,970

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Form PTO-1449 US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	10/690,290
				Filing Date	October 21, 2003
				First Named Inventor	Yuji HORI
				Art Unit	2814
				Examiner Name	Ngan V. Ngo
				Confirmation No.	4572
Sheet	1	of	1	Attorney Docket No.	782_202 DIV2

U.S. PATENT DOCUMENTS

Exam. Initial		Document Number	Date	Name	Our Docket No.	Class	Sub Class	Filing Date
	AA*	5,990,493	11-23-1999	Ohba, Yasuo				
	AB*	6,064,082	03-16-2000	Kawai et al.				
	AC*	5,810,925	09-22-1998	Tadatomo et al.				

U.S. COPENDING APPLICATIONS

Exam. Initial		Application/ Publication Number	Filing/ Publication Date	Inventor Name	Our Docket No.	Class	Sub Class

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Sub Class	Translation	Abstract
	AD	WO 98/35388	08-13-1998	US				

OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages etc.)

AE	M.A. Khan et al., "High Electron Mobility Transistor Based on a GaN-Al _x /Ga _{1-x} N Heterojunction," Applied Physics Letters, 30 August 1993, USA, Vol. 63, No. 9, pages 1214-1215, XP002269124
AF	P. Kung et al., "High Quality AlN and GaN Epilayers Grown on (pp.1) Sapphire, (100) and (111) Silicon Substrates," Applied Physics Letters, American Institute of Physics, NY, US, Vol. 66, No. 22, 29 May 1995, pages 2958-2960, XP000507525

Examiner:		Date Considered:	
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*In accordance with the Notice dated July 11, 2003 on the PTO website, we are not enclosing copies of any of the U.S. references listed above.

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